



Docket No. 5000-5157

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant(s): UTSUMI et al.

Group Art Unit: 3663

Serial No.: 10/814,903

Examiner: Johannes P. MONDT

Filed: March 30, 2004

For: AREA LIGHT EMITTING DEVICE, METHOD FOR MANUFACTURING AREA  
LIGHT EMITTING DEVICE, AND OPTICAL DEVICE

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

This Information Disclosure Statement is filed in accordance with 37 C.F.R. §§1.56, 1.97 and 1.98. The items listed on Form PTO-1449, a copy of which is enclosed, are made of record to assist the Patent and Trademark Office in its examination of this application. The Examiner is respectfully requested to fully consider the items and to independently ascertain their teaching.

1. ☒ For each of the items listed on the enclosed copy of Form PTO-1449 that is not in the English language, an English language translation of that item or a portion thereof or a concise explanation of the relevance of that item is enclosed.
2. ☐ For each of the following items listed on the enclosed copy of Form PTO-1449 that is not in the English language, a concise explanation of the relevance of that item is incorporated in the specification of the above-identified application.
3. ☐ Any copy of the items listed on the enclosed copy of Form PTO-1449 that is not enclosed with this Information Disclosure Statement was previously cited by or submitted to the Patent and Trademark Office in application Serial No. \_\_\_\_\_, filed \_\_\_\_\_.
4. ☐ No fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with:  
☐ 37 C.F.R. §1.97(b)(1), within three months of the filing date of a national application other than a CPA; or

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- ☐ 37 C.F.R. §1.97(b)(2), within three months of the date of entry into the national stage as set forth in §1.491 in an international application; or
- ☐ 37 C.F.R. §1.97(b)(3), before the mailing date of a first Office action on the merits; or
- ☐ 37 C.F.R. §1.97(b)(4) before the mailing date of a first office action after the filing of an RCE under §1.114.
5. ☐ No fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. §1.97(c), after the period specified in paragraph 4 above but before the mailing date of a final action or a Notice of Allowance (where there has been no prior final action), and is accompanied by one of the certifications pursuant to 37 C.F.R. §1.97(e) set forth in paragraph 9 below.
6. ☐ A fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. §1.97(c), after the period specified in paragraph 4 above but before the mailing date of a final action or a notice of allowance (where there has been no prior final action):
- ☐ A check in the amount of \$\_\_\_\_\_ is enclosed in payment of the fee.
- ☐ Charge the fee to Deposit Account No. \_\_\_\_\_, Order No. \_\_\_\_\_. A  
DUPLICATE COPY OF THIS SHEET IS ATTACHED.
7. ☒ A fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. §1.97(d), after the mailing date of a final action or a notice of allowance, whichever comes first, but before payment of the issue fee, and is accompanied by:
- a. one of the certifications pursuant to 37 C.F.R. §1.97(e) set forth in paragraph 9 below; and
- b. the fee due under 37 C.F.R. §1.17(p) which is paid as set forth in paragraph 11 below.
8. ☐ This Information Disclosure Statement is being filed in compliance with:
- a. ☐ 37 C.F.R. §1.313(b)(3) or §1.313(c)(1), after the issue fee has been paid and information cited in this Information Disclosure Statement may render at least one claim unpatentable and is accompanied by the attached Petition To Withdraw Application From Issue and fee pursuant to 37 C.F.R. §1.17(h);
- b. ☐ 37 C.F.R. §1.313(c)(2) or §1.313(c)(3), after the issue fee has been paid and information cited in this Information Disclosure Statement is to be considered in a Request for Continued Examination (RCE) or a Continuation application upon abandonment of the instant application and is accompanied by the

attached Petition To Withdraw Application From Issue and fee pursuant to 37 C.F.R. §1.17(h).

- c. ☐ The fee due under 37 C.F.R. §§1.17(h) is paid as set forth in paragraph 11 below.
9. ☒ I hereby certify that each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.
- ☐ I hereby certify that no item of information in the Information Disclosure Statement filed herewith was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.
10. ☒ This document is accompanied by ☐ a Search Report ☒ Communication which was cited in a corresponding ☐ PCT or ☒ Foreign counterpart application
11. ☐ A check in the amount of \$ \_\_\_\_\_ is enclosed in payment of the fees due under 37 C.F.R. §§1.17(h) and 1.17(p).
- ☒ Charge the fees due under 37 C.F.R. §§1.17(h) and 1.17(p) to Deposit Account No. 13-4500, Order No. 5000-5157. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.
- ☒ The Commissioner is hereby authorized to charge any additional fees which may be required for this Information Disclosure Statement, or credit any overpayment to Deposit Account No. 13-4500, Order No. 5000-5157. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.

Respectfully submitted,  
MORGAN & FINNEGAN, L.L.P.

Dated: July 26, 2006

By: Steven F. Meyer  
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**CERTIFICATE OF MAILING (37 C.F.R. §1.8(A))**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

I hereby certify that the attached:

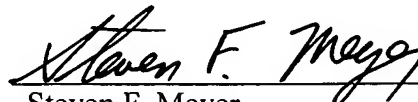
1. Information Disclosure Statement (3 pages, and duplicate);
2. Communication from Foreign Counterpart Application (4 pages, including relevance sheet);
3. Form PTO-1449 (1 page);
4. References Cited Therein (2 of 3);
5. Return Receipt Postcard;

along with any paper(s) referred to as being attached or enclosed and this Certificate of Mailing are being deposited with the United States Postal Service on date shown below with sufficient postage as first-class mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Respectfully submitted,  
MORGAN & FINNEGAN, L.L.P.

Dated: July 26, 2006

By:



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**INFORMATION DISCLOSURE CITATION**

Attorney Docket:  
5000-5157

Serial No.:  
10/814,903

Applicant:  
UTSUMI, et al.

Filing Date:  
March 30, 2004

Group Art Unit:  
3663

**U.S. PATENT DOCUMENTS**

Examiner Initial	Publication Number	Publication Date	Name	Class	Sub-Class	Filing Date
	2002/0005824	01/17/02	Oshitani, et al.	345	76	06/22/01

**FOREIGN PATENT DOCUMENTS**

Examiner Initial	Patent Number	Publication Date	Country	Class	Sub-Class	Translation
	JP 2002-006765	11/01/02	Japan	G02F	1/13357	English Abstract
	KR 1998-067886	10/15/98	Korea	G02F	1/1335	Translated Relevance

**OTHER DOCUMENTS (Including Author, Title, Date, etc.)**


Examiner

Date Considered

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP §609.  
Draw line through citation if not in conformance and not considered.  
Include copy of this form with next communication to Applicant.

Y/R: 5000-5157  
O/R: P1P2003238US

## INFORMATION SHEET FOR IDS

Date Office Action was Mailed: May 12, 2006

### LIST OF REFERENCES AND RELEVANCE

Document No.	Publication date	Concise explanation of relevance	English abstract attached
Korean Laid-Open Patent Publication No. 1998-67886	Oct. 15, 1998	Fig. 3(b) shows a light guiding plate 2 having a recess for receiving a prism sheet 4, a diffusion sheet 5, and a protective sheet 6	No
Japanese Laid-Open Patent Publication No. 2002-6765	Jan. 11, 2002	US 2002/0005824 is the counterpart of the JP Publication	Yes